



**CERTIFICATION SCHEME
FOR
NON-STANDARD CONNECTIONS WATER
APPROVAL – MINOR WORKS**

GUIDELINES FOR ENDORSED CONSULTANTS

March 2022

Amendment History

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Urban Utilities assumes no responsibility for any errors in or omissions from these guidelines or any damages arising out of the use or inability to use these guidelines.

To remove any doubt, if there is any inconsistency between the information set out in these guidelines and the Deed or the Water Netserv Plan then the Deed and the Water Netserv Plan will prevail to the extent of such inconsistency.

Changes may be made periodically to the information contained in these guidelines. Readers should ensure they obtain the latest version of these guidelines available from www.urbanutilities.com.au/development-services.

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1. About these guidelines

1.1. Overview

- (a) These guidelines set out the requirements for Urban Utilities' Certification Scheme commencing 1st April 2022 for the provision of Property Service Infrastructure and Network Infrastructure that is considered by Urban Utilities via a Non-Standard Connection Water Approval as Minor Works in the Urban Utilities service areas of Brisbane, Ipswich, Lockyer Valley, Scenic Rim and Somerset councils.
- (b) Under the Certification Scheme Urban Utilities endorses 'third-party' engineering consultants (**Endorsed Consultants**). Endorsed Consultants may be engaged by Applicants to certify that the design and construction of low risk Property Service Infrastructure and Network Infrastructure, classified by Urban Utilities as a Non-Standard Connection Approval "Minor Works", comply with Water Approval conditions, and the SEQ Code and related policy and legislation.
- (c) A consultant is endorsed under the Certification Scheme only when the consultant and Urban Utilities have entered into a Deed.
- (d) Any endorsement of an Endorsed Consultant is not an acceptance or representation by Urban Utilities of the Endorsed Consultant's particular qualifications or skills.
- (e) The Certification Scheme commences on 1st April 2022 and will terminate on 31st March 2024.
- (f) The Certification Scheme replaces the Previous Certification Scheme.

1.2. Guidelines Users

- (a) These guidelines are for Endorsed Consultants. Urban Utilities requires Endorsed Consultants to be familiar with, and comply with, these guidelines.
- (b) These guidelines may also be useful for other persons, including Applicants undertaking Minor Works, and constructors of Minor Works Certification Scheme arrangements.
- (a) An Endorsed Consultant endorsed under the Previous Certification Scheme must:
 - (1) continue to comply with its obligations under the existing deed and guidelines for the Previous Certification Scheme for all Water Approval applications not finalised at the date of endorsement as an Endorsed Consultant under this Certification Scheme; and
 - (2) comply with these guidelines for all Water Approval applications made on or after the date of the Endorsed Consultant's endorsement under the Certification Scheme.
- (b) A consultant endorsed under the Previous Certification Scheme that has not been endorsed as an Endorsed Consultant must continue to comply with its obligations under the existing deed and guidelines for the Previous Certification Scheme for all Water Approval applications not finalised at the date of commencement of the Certification Scheme.

1.3. Amendments and Updates

- (a) Urban Utilities will revise these guidelines as required and will communicate any updates via the Consultant newsletter and via the Urban Utilities website.

1.4. Commitments to Quality

- (a) These guidelines support Urban Utilities' commitment to:
 - (1) ensure that connections or extensions to Urban Utilities' water, non-drinking water and wastewater networks meet relevant standards, are sustainable, support population growth, and protect the health and safety of the community; and

- (2) deliver a quality service that meets the evolving needs of Urban Utilities' customers.
- (b) These commitments rely on the provision and maintenance of high-quality customer Service, documentation and infrastructure. Accordingly, Urban Utilities places high value on the quality of design, construction and inspection services associated with the provision of Services and is relying on the expertise and diligence of Endorsed Consultants to ensure that high quality outcomes are delivered.

2. Overview of Certification Scheme

2.1. General

- (a) The Certification Scheme is a business initiative of Urban Utilities under which entities which provide certification services for applications assessed as Non-Standard Connection - Minor Works, are endorsed by Urban Utilities.
- (b) Endorsed Consultants are engaged by Applicants and do not provide certification services for, or on behalf of, Urban Utilities.
- (c) Endorsement of an Endorsed Consultant by Urban Utilities means that Urban Utilities may decide to accept the Endorsed Consultant's certification of the Minor Works in respect of a Water Approval Condition without any further investigation.

2.2. Regulatory Requirements

- (a) All Endorsed Consultants are required to familiarise themselves and apply the relevant Water Approval Decision Notice conditions, Water Netserv Policy, SEQ Water Supply and Sewerage Design and Construction Code (SEQ Code), and legislation relevant to provision of the Services.
- (b) Useful links include:
 - (1) Water Netserv Plan <https://urbanutilities.com.au/development/help-and-advice/water-netserv-plan>
 - (2) SEQ Code <http://www.seqcode.com.au/>
 - (3) Relevant legislation <http://www.legislation.qld.gov.au>
 - i. *Planning Act 2016 (Qld)*;
 - ii. *Water Supply (Safety and Reliability) Act 2008 (Qld)*; and
 - iii. *SEQ Water (Distribution and Retail Restructuring) Act 2009 (Qld)*.

2.3. Business Principles

- (a) Under the *SEQ Water (Distribution and Retail Restructuring) Act 2009 (Qld)* (*SEQ Water Act*), Urban Utilities must receive, assess, approve, provide advice and authorise the making of connections to water and wastewater services for customers within its Service Area.
- (b) The Certification Scheme helps Urban Utilities to achieve an object of the *SEQ Water Act* by providing an efficient and cost-effective means for customers requiring Non-Standard Connection Water Approvals that are classified by Urban Utilities as 'Minor Works' to connect to Urban Utilities' water and wastewater networks.

2.4. Certification Scheme Operation

- (a) The Certification Scheme contemplates Urban Utilities' assessing, as part of its statutory assessment functions, applications for Minor Works.

- (b) An application may be the subject of Water Approval Conditions allowing the design and construction of Works to be certified by an Endorsed Consultant.
- (c) Where certification is to be provided by an Endorsed Consultant, the Endorsed Consultant must be engaged by, or on behalf of, the Applicant to provide the Services.

2.5. Minor Works Definition

- (a) Minor Works is the design and construction of Property Service Infrastructure and/or Network Infrastructure that meets the criteria described in Table 2.5.1.

2.6. Endorsed Consultant's Role and Accountabilities

- (a) The Endorsed Consultant has the following responsibilities in respect of an application for a Minor Works Water Approval:
 - (1) conduct site investigations prior to certifying the Design Package;
 - (2) certify the Design Package and submit to Urban Utilities;
 - (3) conduct site inspections during construction to verify Works, products and materials to the certified design and the Water Approval Conditions; and
 - (4) certify the As Constructed Package and submit to Urban Utilities.
 - (5) undertake off maintenance inspection and submit certification to Urban Utilities
- (b) Roles of the Endorsed Consultants and their relationship with other stakeholders for the Minor Works Water Approval process are set out in Table 2.6.1.
- (c) Endorsed Consultants are required to have a detailed working knowledge of all Urban Utilities Minor Works Water Approval processes.
- (d) Endorsed Consultants will often be engaged to “manage” the Minor Works Water Approval process on behalf of Applicants and, in those instances, can further assist by:
 - (1) performing duties and tasks on behalf of Applicants with satisfying Urban Utilities' requirements. For example, the Endorsed Consultant may submit a water application to Urban Utilities.
 - (2) responding to Urban Utilities' enquiries, including requests for information and outstanding tasks that the Applicant has not completed.
- (e) An Endorsed Consultant must not accept any engagement by an Applicant or Urban Utilities in relation to a Minor Works Water Approval where the Endorsed Consultant has, or is perceived to have, a Conflict of Interest.

2.7. Electronic Lodgement

- (a) Urban Utilities will primarily interact with Endorsed Consultants electronically, via the Developer Applications Portal accessible via the Urban Utilities webpage.
- (b) Each Endorsed Consultant must nominate an email address to be the primary organisation login for use of the Developer Application Portal.
- (c) Forms, materials and templates that support and enable compliance with certification requirements will be published and available through Urban Utilities' webpage.
- (d) An Endorsed Consultant must provide information (asset information, drawings and documents) in a form that is compliant with the SEQ Code: Asset Information Standards and lodge this information via the Developer Applications Portal.
- (e) An Endorsed Consultant must provide all mandatory documentation required for an application for a Minor Works Water Approval if it is managing the application.

- (f) An Endorsed Consultant must provide a point of contact for Urban Utilities in relation to the day-to-day administration of the Certification Scheme.

Table 2.5.1 Minor Works Criteria

Minor Works Criteria	
Water	<ul style="list-style-type: none">Water reticulation infrastructure up to 80 metres in length with a nominal internal diameter not exceeding 225 mm.Water Non-Standard Connection Water Approvals (excludes Standard Connection Water Approval scope).
Wastewater	<ul style="list-style-type: none">Wastewater reticulation infrastructure up to 90 metres in length with a nominal internal diameter not exceeding 225 mm and not including more than two maintenance structures for Non-Standard Connection Water Approvals (excludes Standard Connection Water Approval scope)
Exceptions	<ul style="list-style-type: none">Applicants may request on their connection application that other water and wastewater infrastructure that does not meet the above Minor Works Criteria be delivered under the Certification Scheme. Urban Utilities will consider, and may grant, such requests at its sole and absolute discretion, which will be confirmed in the Water Approval conditions.Urban Utilities may identify, on a case by case basis, a site, development or network constraint that precludes works from being eligible for delivery under the Certification Scheme, which will be confirmed in the Water Approval conditions. For example, works with high-risk design requirements not covered in detail by the SEQ Code (i.e. basement pipelines), waterway corridor, road and rail crossings, works in proximity to other major utility infrastructure, project involving or improving complex assets (treatment, storage, pumping facilities).

Table 2.6.1: Stakeholder Roles Matrix

Overall Water Application Minor Works Certification Process		Applicant	Consultant	Contractor	Urban Utilities
Apply	Engage an engineer from the list of Urban Utilities' Endorsed Consultants (available at https://urbanutilities.com.au/development) for the design and construction certification. The Applicant should ensure he or she is satisfied with the qualifications, experience and insurance of the Endorsed Consultant.	R			
	Lodge Non-Standard Connection Water Approval application via the Developer Applications Portal	A/R	R		I
	The Endorsed Consultant must be included in the application as an 'Additional contact' (via the Developer Applications Portal) to enable it to submit information on behalf of the Applicant.	A/R	R		I
	If the Development Application changes or there is a new Development Application applicable, apply for an amended Water Approval prior to issue of a Connection Certificate. Note- Connection Certificates will only reference Development Applications advised through Water Approval	A/R	R		
Assess	Issue of Water Approval Decision Notice (approved with Infrastructure Charge Notice or not approved)	I	I		A/R
Design	Prepare certified designs ensuring compliance with Water Approval conditions and relevant standards (as per Section 2.1).	C	A/R		
	Lodge Design Package to Developer Applications Portal.	A	R		I
	Engage a suitably qualified contractor to construct the connection. In some cases, the Endorsed Consultant may be able to assist.	A/R	C		I
Construct	Pay Infrastructure Charge Notice and all other fees and charges to Urban Utilities	A/R	I		I
	Prepare the Network Access Permit (NAP) Application and the live tap request (where applicable).	I	R	A/R	I
	Lodge NAP application request via Developer Applications Portal and also email to development.permits@urbanutilities.com.au		R	A	I
	Register live works with Urban Utilities' Development Audits team prior to day of construction by emailing development.audit@urbanutilities.com.au .	I	C	A/R	I
	Ensure compliance against NAP conditions, including notifying affected residents, arranging alternative sources of water and scheduling trial valve shuts (where applicable).	I	I	A/R	I
	Notify Urban Utilities' control room of commencement and completion of water outage, shutplan works by calling 07 3856 7179.	I	I	A/R	I
	Undertake quality assurance testing in accordance with SEQ Code requirements and provide results to the Endorsed Consultant.	R	C	A	I
	Inspect and certify compliance of construction works with the Certified Design and SEQ Code.	I	A/R	C	I
	Audit (random) construction works by Urban Utilities.	I	I	C	R/A
	Establish easement/s (if required)	A/R	C		I
	Complete construction and restoration works in accordance with Non-Standard Connection Water Approval, Certified Design and applicable standards.	R	C	A	I
	Prepare and lodge of As Constructed Package Certification	R	A/R	C	I
	Review As-Constructed Package and issue of Connection Certificate.	I	I		A/R
Maintain	Maintenance of the works until the maintenance period has ended	A/R	I		I
	Undertake Off Maintenance inspection and submit End of Maintenance Certificate.	A	R		I

KEY: **R** – Responsible for doing the task (doer), **A** – Accountable and ultimately answerable for the task (approver), **C** – Consulted with or communication regarding the task, **I** – Informed, to be updated on the task.

3. Overview of the Certification Services

3.1. Introduction

- (a) The Certification Scheme process requires there to be a Water Approval Condition which provides that Minor Works may be certified by an Endorsed Consultant under the Certification Scheme.
- (b) An Endorsed Consultant is the company, staff including RPEQ's are representatives of the Endorsed Consultant
- (c) The Services to be provided by the Endorsed Consultant are outlined in Schedule 1 of the Deed and section 3.2, and Table 3.3.1 below.
- (d) Further details of the requirements for the design, construction and maintenance phases of the Works are set out in sections 4, 5 and 6 respectively in these guidelines.

3.2. Scope of Services

In carrying out the Services, the Endorsed Consultant must:

- (a) prepare a Design Package which complies with the Water Approval Conditions, relevant codes, policies and legislation and is in accordance with these guidelines;
- (b) carry out regular audits and inspections of the construction of the Works to ensure quality and compliance in accordance with the Minor Works Water Approval and these guidelines;
- (c) record in writing and with sufficient detail, the audit findings and inspection details of the Works;
- (d) provide the certifications as set out in Section 3.3 below and do all other things necessary to fulfil the role of Endorsed Consultant set out in these guidelines and the Deed; and
- (e) ensure that applicable alerts, news, and changes in requirements published online at <https://urbanutilities.com.au/development/help-and-advice/consultants-and-contractors-corner> are incorporated in to the Works performed directly or indirectly by the Endorsed Consultant.
- (f) Should the principal contact, or list of RPEQ's provided for the Endorsed Consultant, or any other contact information change, then Endorsed Consultant shall notify Urban Utilities to enable records to be updated.

3.3. Certification

- (a) The Endorsed Consultant must certify that:
 - (1) the design of the Works is in accordance with, and satisfies, the Water Approval Conditions (Design Certificate);
 - (2) the Works are constructed in accordance with the certified design (As-Constructed Package Certification);
 - (3) where applicable, the design of the Works variation to the SEQ Code is in accordance with a variation approved by Urban Utilities pursuant to clause 7 of the Deed (details of which are to be set out in the Design Certificate);
 - (4) where applicable, the Works are constructed in accordance with a variation approved by Urban Utilities pursuant to clause 7 of the Deed; and
 - (5) the Works have been inspected at the conclusion of the applicable Maintenance Period (End of Maintenance Certificate) in accordance with these guidelines.

- (b) The Endorsed Consultant must submit to Urban Utilities, in the manner stated in these guidelines, the documents and notifications specified in column 1 (Certification Material), at the time specified in column 2 of Table 3.3.1.

3.4. Requirement for minimum engagements in each yearly period

During each year of the Term under the Deed (***the first year*** commencing on the Commencement Date ***and a subsequent year commencing on the anniversary of the Commencement Date***), the Endorsed Consultant (under the Deed) must be engaged by an Applicant to commence, and have commenced, to carry out Services (evidence of which must be provided by the Endorsed Consultant on request by Urban Utilities) on at least 12 separate occasions.

Table 3.3.1 Certification Material and Submission Timing

Column 1 – Certification Material	Column 2 – Submission Timing
Design Phase	
Design Package, including all drawings, reports, (including site investigation reports) design verification forms, consent from affected parties and other documentation in accordance with these guidelines and as required to satisfy relevant Water Approval Conditions.	Following payment to Urban Utilities of the Certification Scheme "Audit and Compliance Fee - Minor Works" by the Applicant and prior to commencement of construction of the Works.
Design Certificate.	With the Design Package and prior to commencement of construction of the Works.
Amended Design	If the Design requires changes the latest version of the design certified same as the original design package, with updated Design Certificate
Construction Phase	
Network Access Permit Application: review construction contractor's application checking details are complete and accurate and submit to Urban Utilities.	Following completion of the design phase and payment of any additional fees and charges to Urban Utilities relating to re-checking of plans if the Design Package is audited by Urban Utilities and non-conformances are identified; and Prior to commencement of construction of the Works.
Notification of Hold Points required by Urban Utilities.	3 Business Days prior to Hold Points.
Facilitate construction contractor to provide Urban Utilities the registration of Works and Live Work dates supported by a detailed construction schedule and other documentation in accordance with these guidelines and as required to satisfy relevant Water Approval Conditions.	3 Business Days prior to the commencement of Construction Works.

Column 1 – Certification Material	Column 2 – Submission Timing
As-Constructed Package, including all drawings, reports, construction verification forms, meter information and other documentation updated to reflect the as-constructed status of the Works in accordance with these guidelines and as required to satisfy relevant Water Approval Conditions.	Following payment of any additional fees and charges to Urban Utilities relating to re-inspection of the Works if the Works is audited by Urban Utilities and non-conformances are identified; and Following completion of the Works, including all Live Works.
As-Constructed Package Certification - Endorsed Consultant Components. All requirements other than Easement registration, outstanding fees, and outstanding ICN payments	45 Calendar days from completion of Live Works.
Maintenance Phase	
End of Maintenance Certificate.	At the conclusion of the Maintenance Period.

Notes to Table 3.3.1: When providing the Certification Material, the Endorsed Consultant must use the templates published by Urban Utilities on its Developer Applications webpage , which will be updated to ensure the most relevant data is captured for fast and comprehensive assessment.

4. Design Phase Certification Services

4.1. Overview

- (a) The design phase commences following receipt of a decision notice by the Applicant granting a Water Approval that includes a condition that the Minor Works may be certified by an Endorsed Consultant.
- (b) An Endorsed Consultant engaged by the Applicant must certify that the Works design complies with the relevant Water Approval Conditions and the standards specified in the Water Approval Conditions.
- (c) The Endorsed Consultant must lodge the Certified Design drawings and related documentation with Urban Utilities.
- (d) Urban Utilities may, from time to time, audit a selection of Certified Designs based on its assessment of the risk of non-compliance and notify an Endorsed Consultant of any issues identified by Urban Utilities as requiring the Endorsed Consultant's rectification (which rectification may be required before a Network Access Permit is issued).
- (e) The certification scheme Audit and Compliance Fee - Minor Works must be paid by the Applicant prior to lodgement of the Design Certification Material.

4.2. Design Standards

- (a) Works must be designed in accordance with the standards and requirements specified in the Water Approval Conditions. Generally, these will be consistent with the SEQ Code.
- (b) Should a design issue not be covered by any of the standards or requirements of the Water Approval Conditions, Urban Utilities' permission is required to use alternative design standards or requirements.

4.3. Scope of Services

The Endorsed Consultant must:

- (a) check that the Audit and Compliance Fee - Minor Works has been paid before lodging the Design Certification Material;
- (b) ensure that the design of the Works is coordinated with any other Urban Utilities works, operations and services. This responsibility extends to co-ordination with councils, other authorities and parties who may have a direct or indirect interest in the construction and location of the proposed Works and such incorporated into the design to satisfy requirements prior to lodging the Certified Design with Urban Utilities; and
- (c) certify the design. A Nominated RPEQ must certify the design. To remove any doubt, an Endorsed Consultant may be the designer of the Works and a Nominated RPEQ may certify his or her own design.

The Certified Design must take into account any easements required. Please refer to Urban Utilities Easements policy at <https://www.urbanutilities.com.au/development/our-services/easements> .

4.4. Design Certification Material

Design Package

- (a) The Endorsed Consultant must lodge the Design Package via the Developer Applications Portal in the form of a fully indexed suite of PDF documents (with active index/directory) and DWG drawing files.

- (b) The Developer Applications Portal limits the upload of individual files larger than 10MB, and if it is not possible to provide the Design Package in a single PDF file of less than 10MB the Design Package should be sub-divided into logical volumes of information and uploaded.
- (c) The Design Package will comprise, as applicable:
 - (1) a copy of the property owner and any other relevant person's consent in relation to the Works;
 - (2) a copy of the design drawings signed by a Nominated RPEQ;
 - (3) a site investigation report;
 - (4) technical reports (as relevant), including, for example, geotechnical reports, soil reports, odour reports, and environmental reports;
 - (5) details of any approved variation to the design and specifications for the Works required by the Water Approval Conditions, including evidence that Urban Utilities has approved such variation pursuant to clause 7 of the Deed; and
 - (6) other documentation required to satisfy relevant Water Approval Conditions or as requested by Urban Utilities during the design phase.

Design Certificate

- (d) The Endorsed Consultant will lodge the Design Certificate with the Design Package.
- (e) The Design Certificate must be in the form specified by Urban Utilities – a template is available on the Urban Utilities webpage.
- (f) The Design Certificate must be signed for and on behalf of the Endorsed Consultant by an authorised representative and by a Nominated RPEQ.
- (g) Urban Utilities accepts and recognises digital signatures.

5. Construction Phase Certification Services

5.1. Overview

- (a) The construction phase commences following completion of the design phase (including payment of all outstanding fees and charges relating to that phase) and “Registration of Works” and lodgement of the Network Access Permit.
- (b) “Registration of Works” must be provided by the Endorsed Consultant or Contractor to Development Audits via development.audit@urbanutilities.com.au.
- (c) During construction, the Endorsed Consultant must inspect the Works at the frequency that a professional endorsed consultant in a similar circumstance would do to verify compliance with the Certified Design and relevant standards.
- (d) Following completion of the Works, including all Live Works, the Endorsed Consultant must inspect the completed Works and lodge the As-Constructed Package and the Construction Certificate.
- (e) Urban Utilities may audit construction of the Works as part of its audit and compliance program. Urban Utilities may, as a Water Approval Condition, specify Hold Points during the construction schedule, at which Work is not to proceed until Urban Utilities has inspected the Works. If Urban Utilities gives reasonable prior notice to the Endorsed Consultant or the Applicant that its personnel are required to be present for an inspection of the Works, the Endorsed Consultant must coordinate such inspections to allow Urban Utilities' personnel to be present.

5.2. Authorisations

- (a) Prior to commencement of construction of the Works the Applicant must ensure that all necessary approvals and authorisations have been obtained for the Works (such as council approvals, neighbour and owner consents and road closures).

5.3. Scope of Services

The Endorsed Consultant must:

- (a) check that any additional fees and charges relating to re-checking of plans (if the Design Package is audited by Urban Utilities and non-compliances are identified) have been paid before lodging the Network Access Permit Application to enable physical connection;
- (b) review and submit the Network Access Permit Application, refer <https://urbanutilities.com.au/development/our-services/network-access-permits>;
- (c) notify, or procure the Contractor to notify (Registration of Works) Urban Utilities of commencement of construction of the Works within 3 Business Days of commencement by email to development.audit@urbanutilities.com.au detailing:
 - (1) construction start date;
 - (2) anticipated Live Works date;
 - (3) anticipated construction end date;
 - (4) Contractor contact details; and
 - (5) Endorsed Consultant contact details;
- (d) inspect the Works during construction to ensure compliance with the Certified Design and applicable standards;
- (e) promptly notify Urban Utilities if the Endorsed Consultant identifies any non-conformances with the Certified Design and applicable standards and provide details of the steps required to rectify the non-conformances;
- (f) inspect the Works to ensure all rectification steps have been completed in accordance with the Endorsed Consultant's specified requirements;
- (g) coordinate any inspections that Urban Utilities notifies the Endorsed Consultant that it requires, including providing Urban Utilities with at least 3 Business Days' prior notice for any Hold Points required by Urban Utilities;
- (h) undertake an inspection of the completed Works, including following completion of the Live Works;
- (i) submit the As-Constructed Package with the As-Constructed Package Certification and Construction Certificate to Urban Utilities via the Developer Application Portal and email development.compliance@urbanutilities.com.au to advise of such upload, including all as-constructed drawings, reports, construction verification forms, meter information and other information required in accordance with these guidelines.

5.4. Network Access Permit Application

- (a) The Endorsed Consultant will lodge the Network Access Permit Application via the Developer Applications Portal in the form of a fully indexed consolidated PDF (with active index/directory). Access information at <https://urbanutilities.com.au/development/our-services/network-access-permits>. The Network Access Permit Application will comprise all information as requested on the Network Access Permit Application form. The completed form is to be uploaded to the Developer Applications Portal and also emailed to Development.Permits@urbanutilities.com.au.

5.5. Live Works

- (a) A live asset is an asset that either carries water or sewage or is connected unplugged to an asset that carries water or sewage. An asset is unplugged when there is no plug, closed valve or other blocking device between the asset and a live asset.
- (b) Working on live assets (**Live Works**) includes for example, cutting into a pipe or maintenance structure carrying water or sewage, opening a maintenance hole cover, inserting tools into a maintenance hole or shaft, entering a maintenance hole, and operating valves or other equipment.
- (c) Undertaking Live Works can be extremely hazardous and potentially life threatening. Undertaking Live Works poses risks, including:
 - (1) Limited entry to and exit from the asset (confined space);
 - (2) Possible exposure to a harmful or dangerous atmosphere or conditions; and
 - (3) Potential risk of fall-from-heights.
- (d) There is also a significant public health and safety risk associated with conducting Live Works and the potential to disrupt services to Urban Utilities' customers.
- (e) Urban Utilities may terminate the Deed immediately by giving notice if Urban Utilities becomes aware that an Endorsed Consultant has interfered with or carried out any works on Urban Utilities water and wastewater assets without prior approval or consent or has assisted other parties to do so.
- (f) Urban Utilities reserves the absolute right to carry out the Live Works itself in accordance with the Water Approval Conditions.
- (g) The Endorsed Consultant is responsible for notifying, or for ensuring that the Contractor notifies, Urban Utilities of the Live Works date and for compiling and certifying the As Constructed Package.

5.6. Lodgement of As-Constructed Package Certification Material

As-Constructed Package

- (a) Within 45 days of completion of the Works, including all Live Works, the Endorsed Consultant must lodge the As-Constructed Package Certification via the Developer Applications Portal in the form of fully indexed PDF documents (as per the Design Package) and also electronic copies of all as-constructed drawings in a form that is compliant with the SEQ Code: Asset Information Standards. Once uploaded it should be advised by email to development.compliance@urbanutilities.com.au

As-Constructed Package Certification Form available at <https://urbanutilities.com.au/development/help-and-advice/development-forms>
- (b) The As-Constructed Package will comprise:
 - (1) As-Constructed Package Certification Checklist (as available in the link referred to in Section 5.6(a)) signed by the Endorsed Consultant and the Nominated RPEQ;
 - (2) a copy of the relevant aspects of the Design Package updated to reflect the as-constructed Works and signed by the Nominated RPEQ;
 - (3) SEQ Code compliant ADAC files, that match the As-constructed drawings submitted;
 - (4) details of any approved variation to the Certified Design including evidence that Urban Utilities has approved such variation pursuant to clause 7 of the Deed;
 - (5) copies of easement agreements and other authorisations relevant to the completed Works;

- (6) copies of the Contractor's licences, accreditations and certificates;
- (7) a detailed construction report containing photographs of the Works in their entirety including individual photographs of separate infrastructure components from such an angle to represent their construction integrity and compliance with the SEQ Code, Infrastructure Products and Materials (IPAM) list, and the Certified Design;
- (8) copies of test results on the Works, including pressure tests, bacteriological tests and sewer camera inspection records (as relevant);
- (9) copies of product and material certificates and structural certificates (new mains and maintenance structure/manhole) where relevant;
- (10) water meter information, including the make, model, date and meter reading on completion of the Live Works and commencement of supply, including information regarding removed meters;
- (11) operations and maintenance manuals for the Works (as relevant);
- (12) On-Maintenance report including details of the party that will undertake maintenance activities during the maintenance phase and a schedule of maintenance activities to be undertaken by the maintenance contractor;
- (13) complete Water Meter Installation form lodged separately, that includes all new meters, and removed meters;
- (14) other documentation required to satisfy relevant Water Approval Conditions or as requested by Urban Utilities during the design and/or construction phase.

Construction Certification

- (c) The Endorsed Consultant will complete the Certification section of the As-Constructed Package as per the link provided in (5.6 (a)) above.

6. Maintenance Phase Certification Services

6.1. Overview

- (a) The Maintenance Period commences when Urban Utilities issues the Connection Certificate.
- (b) The Applicant is responsible for maintenance of the Works in accordance with the Water Approval Conditions.
- (c) The Endorsed Consultant must undertake an inspection of the Works and certify compliance with the Certified Design at the end of the Maintenance Period (End of Maintenance Certificate).

6.2. Scope of Services

The Endorsed Consultant must:

- (a) liaise with the Applicant to rectify maintenance items and defects and report findings and actions to Urban Utilities;
- (b) at the end of the Maintenance Period, inspect the maintenance records and the Works and certify to Urban Utilities that that any defects have been rectified and that there are no known defects; and
- (c) lodge the End of Maintenance Certificate via the Developer Applications Portal along with any other documentation required to satisfy relevant Water Approval Conditions specific to the requirements for water and/or sewer connections (e.g. CCTV).

6.3. Lodgement of Maintenance Certification Material

End of Maintenance Certificate

- (a) Within 30 days of the end of the Maintenance Period, the Endorsed Consultant must lodge the End of Maintenance Certificate.
- (b) The End of Maintenance Certificate must be in the form of the template provided by Urban Utilities via the Urban Utilities Webpage and be signed for and on behalf of the Endorsed Consultant and by a Nominated RPEQ.

6.4. End of Maintenance Notification

- (a) Following lodgement of the End of Maintenance Certificate, Urban Utilities will review compliance and notify the Applicant and Endorsed Consultant that:
 - (1) the Maintenance Period has ended, and the Maintenance Bond has been released; or
 - (2) Urban Utilities has identified non-compliance(s), including non-conformances and defects, that must be rectified prior to the Maintenance Period ending.

7. Fees and Charges

7.1. Overview

- (a) The fees and charges that apply to the Certification Scheme are set out in Urban Utilities' Water Netserv Plan at <https://urbanutilities.com.au/development/help-and-advice/water-netserv-plan>
- (b) Further information is available online at <https://urbanutilities.com.au/development/help-and-advice/fees-and-charges>

8. Auditing and Performance Management

8.1. General Approach to Auditing

- (a) The Applicant, Contractors and the Endorsed Consultant are entirely responsible for the quality of the Works.
- (b) Urban Utilities may audit both the Works and the activities of the Endorsed Consultant. Audits may be conducted in the Endorsed Consultant's office, at the Works site, or in Urban Utilities offices.
- (c) Endorsed Consultants must satisfy themselves of the quality and compliance of the Works before issuing any Certification Material. Endorsed Consultants should not rely on auditing or inspections by Urban Utilities to assure the quality or compliance of the Works.
- (d) Endorsed Consultants should anticipate that they will be subject to regular audits and that Urban Utilities will act on the results of the audit.
- (e) In addition to identifying and rectifying non-conformances, an objective of the audits is to identify opportunities to streamline processes, reduce cost and improve quality. Accordingly, subject to its obligations of confidentiality, Urban Utilities may share audit learnings with Endorsed Consultants and other industry stakeholders.
- (f) Non-Conformance are issued at the Endorsed Consultant level, but should Urban Utilities believe that an RPEQ has breached their requirements under the Professional Engineers Act, then Urban Utilities may choose to report the RPEQ to the Board of Engineers, and/or remove their right to certify under the Third Party Certification Scheme

8.2. Design Compliance Auditing

- (a) Urban Utilities may audit a selection of Certified Designs. Where such audits identify any non-conformance with the requirements of the Certification Scheme including these guidelines, Urban Utilities may take whatever action Urban Utilities deems necessary in accordance with the Deed.
- (b) Without limiting its rights, Urban Utilities may require that the Endorsed Consultant rectify the non-conformance and resubmit certain aspects of the Design Package and/or Design Certificate.
- (c) If Urban Utilities requires Certification Material to be resubmitted, Urban Utilities may charge an additional Engineering Compliance Advice fee, as may be updated from time to time in Urban Utilities' schedule of fees and charges, available at www.urbanutilities.com.au/development/help-and-advice/fees-and-charges
- (d) In the case of a Major Non-conformance, Urban Utilities may, without limiting its rights, refuse to issue a Network Access Permit until the Major Non-conformance is remedied to Urban Utilities' satisfaction.

8.3. Construction Compliance Auditing

- (a) Urban Utilities may audit a selection of construction phase services undertaken by the Endorsed Consultant. Where such audits identify any non-conformance with the requirements of the Certification Scheme including these guidelines, Urban Utilities may take whatever action Urban Utilities deems necessary in accordance with the Deed.
- (b) If provided for under a Water Approval Condition, Urban Utilities may notify the Applicant and the Endorsed Consultant of specific Hold Points where construction cannot proceed until Urban Utilities has completed an inspection of the Works. In these circumstances the Endorsed Consultant must provide Urban Utilities with at least 3 Business Days' notice of any Hold Points.
- (c) In the event Urban Utilities requires certain Certification Material to be resubmitted, Urban Utilities may charge the Applicant an additional Engineering Compliance Advice fee, as may be updated from time to time in Urban Utilities' schedule of fees and charges, available at <http://urbanutilities.com.au/development/help-and-advice/fees-and-charges>

8.4. Non-conformance

- (a) A non-conformance is an event where the Endorsed Consultant has failed to ensure that a process or outcome conforms to the requirements of the Water Approval Process, Water Approval Conditions including SEQ Code, the Deed and these guidelines.
- (b) Without limitation, a non-conformance may be identified during any Urban Utilities design audit, construction audit, review of the submitted As-Constructed Package, review of End of Maintenance Package, or other requirements not met detailed within the Deed and or guidelines.
- (c) If a non-conformance occurs, Urban Utilities may, depending on the nature, type, frequency, and severity of the non-conformance, undertake the following.
 - (1) Minor Non-conformance - low risk, may need to be rectified, preferable not repeated.

For Minor Non-Conformance Events, Urban Utilities may raise these directly with the Endorsed Consultant and require to have them addressed by the Endorsed Consultant during design and/or construction within a reasonable period specified by Urban Utilities. Generally, Urban Utilities will seek to avoid delaying or disrupting the Works in these cases. However, Minor Non-Conformance Events may need to be rectified prior to issue of a Connection Certificate.

- (2) Major Non-conformance – high risk, must be rectified, must not be repeated, severity of time delay and/or costs.

Without limiting its rights under the Deed, for Major Non-Conformance Events, or where Urban Utilities has a right to terminate under clause [12] of the Deed:

- Urban Utilities may refuse to permit construction to continue past a Hold Point;
- Urban Utilities may refuse to issue a Network Access Permit to perform Live Works;
- Urban Utilities may refuse to issue notification of commencement of the Maintenance Period;
- Urban Utilities may refuse to issue the Connection Certificate;
- Urban Utilities may refuse to issue notification of the Maintenance Period ending; or
- Urban Utilities may refuse the release of funds until the non-compliance issue(s) has been rectified to the satisfaction of Urban Utilities with appropriate records including a Corrective Action Report as per clause (e) below.

The following Table of examples is provided as a guide in defining minor and major non-conformance for each phase of the Minor Works described in Table 8.4.1.

Table 8.4.1 Minor and Major Non-conformance by Phase and Examples

Minor	Major
Design Phase	
Any non-conformance that is not a major non-conformance.	<p>Identified during a design audit - failure that presents a medium to high risk to Customers or Urban Utilities or their property, including not complying with the SEQ Code.</p> <p>Examples:</p> <ul style="list-style-type: none"> • Design variation process not followed for deep sewer connection as proposed design exceeds 1.5m depth (SEQ Code 4.6.2.2). • Design does not meet with minimum cover requirements of 750mm for vehicular loading as per SEQ Code Table 4.8. • Design does not comply with the SEQ Code 8.8.8 for hydrant spacing provisions. • Design does not allow for access to sewer. • Not conducting an adequate site investigation including inspection of a manhole prior to planning works where there are significant costs and/or delays. • Easement not included in the Certified Design and delays and costs to the Applicant for the connection certificate is expected to be significant.
Construction Certification Phase	
Any non-conformance that is not a major non-conformance.	<p>Identified during a site audit - failure that presents a medium to high risk to Customers or Urban Utilities or their property, including not complying with the SEQ Code.</p> <p>Examples:</p> <ul style="list-style-type: none"> • Certification of Works not installed resulting from not inspecting the construction works, construction and changes not reflected, or Certification records not being updated to reflect construction.
Compliance Phase	
Any non-conformance that is not a major non-conformance.	<p>Identified during technical review of the As-Constructed Package - failure that presents a medium to high risk to Customers or Urban Utilities or their property, including not complying with the SEQ Code.</p>

Minor	Major
	<p>Examples:</p> <ul style="list-style-type: none"> Non-compliant design to the SEQ Code without engineering justification. CCTV identifying works installed that is different from the Certified Construction. Endorsed Consultant have certified completed Works to the Certified Design and Water Approval Conditions and the compliance technical review have identified that the completed Works do not comply with the initial Certified Design or Water Approval Conditions.
Maintenance Phase	
Any non-conformance that is not a major non-conformance.	Endorsed Consultant does not undertake an inspection but signs an End of Maintenance Certificate at the end of the Maintenance Period.
Administration of the Certification Scheme	
Any non-conformance that is not a major non-conformance.	A breach of a material term of the Deed or these guidelines.

- (d) Without limiting Urban Utilities' rights, within 5 Business Days of Urban Utilities notifying the Endorsed Consultant of a Major Non-Conformance Event, the Endorsed Consultant must provide Urban Utilities with a Corrective Action Report detailing the following (as relevant):
- (1) Description of the Major Non-Conformance Event.
 - (2) The date Urban Utilities notified the Endorsed Consultant of the Major Non-Conformance Event.
 - (3) The status of the Major Non-Conformance Event.
 - (4) The cause of the Major Non-Conformance Event.
 - (5) The steps the Endorsed Consultant proposes to take to remedy the Major Non-Conformance Event, including the individual responsible for taking the action and the date by which the Major Non-Conformance Event will be remedied.
 - (6) Where applicable the steps the Endorsed Consultant Proposes to take to ensure that the Major Non-Conformance Event does not occur again, including the individual responsible for taking the action and the implementation date.
- (e) Corrective Action reports are to be uploaded to the Developer Applications Portal and emailed to development.compliance@urbanutilities.com.au to the attention of the responsible Urban Utilities personnel if known.
- (f) Water Approvals with a Major Non-Conformance will not be progressed until a Corrective Action Report has been accepted by Urban Utilities and all associated paperwork – Certified Designs, As Constructed Packages have been updated.
- (g) Once a Corrective Action Report is accepted by Urban Utilities, the Endorsed Consultant must comply with the Corrective Action Report.

8.5. Performance Management

- (a) Urban Utilities will collate data and conduct analysis to determine Endorsed Consultant performance within the Scheme specifically but not limited to aspects of:
 - (1) Services performed and records submitted as within the Scheme (outstanding or not), complaints, required rectifications, audit results;
 - (2) Issues relating to safety, environment and community;
 - (3) Timeliness of submission of the documents and records included in Table 3.3.1;
 - (4) Minor and Major Non-Conformances identified during water approval process and the certification Scheme administration including but not limited to design audits, construction audits, technical review of As-Constructed Packages etc;
 - (5) Services performed and records submitted on behalf of the Applicant outside the Scheme for the Water Application;
 - (6) Coordination and positive relationship with Urban Utilities, Applicant, and Contractor in achieving outcomes consistent with the benefits of the Scheme;
 - (7) Positive engagement with Urban Utilities to ensure that the Applicant and Urban Utilities requirements are met;
 - (8) Maintaining Urban Utilities system with up to date contact and company details, current insurances certificate of currency, current copy of RPEQ cards with signatures;
 - (9) Updates of the development, implementation and maintenance of the consultancy's quality management system, Management Plan, and relevant Standard Operating Procedures or component, element or section thereof.
- (b) Urban Utilities will engage with Endorsed Consultants in the review and feedback of performance:
 - (1) Endorsed Consultants should expect to be audited by Urban Utilities on a regular basis and will need to maintain and provide access to information, premises and construction sites in accordance with the requirements set out in the Deed and these guidelines.
 - (2) Performance review meetings to review and optimise performance as an as need basis resulting from non-conformances identified and provided to the Endorsed Consultant, or if the number of Water Applications proposed during the application to the scheme have not been achieved.
 - (3) Urban Utilities may conduct performance review on an annual basis if it is deemed necessary and benefit to development and enhancement of the Endorsed Consultant.
- (c) Without limiting or otherwise prejudicing any of its rights under the Deed, Urban Utilities may, by written notice, require an Endorsed Consultant to undertake the remediation process under section 8.5(d) if three or more Major Non-Conformance Events occur within any [12] month period. For the purposes of this section 8.5, the occurrence of three Minor Non-Conformance Events within any three-month period will be deemed a Major Non-Conformance Event.
- (d) The remediation process is as follows:
 - (1) Within 10 Business Days of receiving a notice under section 8.5(c), the Endorsed Consultant must provide to Urban Utilities a plan detailing:
 - i. how the non-conformances giving rise to the initiation of the remediation process will be remedied (if outstanding); and
 - ii. the steps that the Endorsed Consultant will take to ensure that further non-conformances will not occur

(Remediation Plan).

- (2) Remediation Plans are to be emailed to development.compliance@urbanutilities.com.au to the attention of the responsible Urban Utilities personnel if known.
- (3) Urban Utilities will review and approve or reject the Remediation Plan.
- (4) If Urban Utilities rejects the Remediation Plan, the Endorsed Consultant must revise and resubmit the Remediation Plan for Urban Utilities' consideration within 5 Business Days.
- (5) The Endorsed Consultant must comply with the approved Remediation Plan.
- (6) In accordance with clause 12 of the Deed, Urban Utilities may elect to terminate the Deed if the Endorsed Consultant does not comply with the approved Remediation Plan.

8.6. Dispute Resolution

- (a) Urban Utilities endeavours to treat all customers and suppliers in a fair and reasonable manner. If a difference or dispute arises between an Endorsed Consultant and Urban Utilities in relation to the Certification Scheme, Urban Utilities will seek, in good faith, to resolve the matter by negotiation.
- (b) Disputes between Endorsed Consultants and Urban Utilities regarding the Certification Scheme will be resolved in accordance with the procedures set out in the Deed.
- (c) Endorsed Consultants should raise any issues of concern about the Certification Scheme with the Development Compliance team at development.compliance@urbanutilities.com.au in the first instance.
- (d) Where the matter is related to an application for a Water Approval or Water Approval Conditions. Disputes related to Water Approvals must be resolved in accordance with the Water Netserv Plan and the *SEQ Water Act*.

Appendix A – Definitions

Term	Description
As Constructed Package	means the package of information set out in this document recording the as-constructed details of the Works.
Applicant	means a person who is connecting to, or who proposes to connect to, Urban Utilities' drinking water, non-drinking water or wastewater network.
Authorisation	means any licence, permit, consent, approval, determination, certificate, clearance, permission or the like which is required to be obtained from any administering authority, regulating body or any other person or under any applicable laws.
Business Day	means a day other than a Saturday, Sunday or public holiday in Brisbane, Queensland.
Certification	means a statement signed by the Endorsed Consultant and co-signed by a Nominated RPEQ certifying that the Works comply with the Water Approval Conditions, the requirements specified in these guidelines and any applicable Law.
Certification Material	means the material outlined in Table 3.3.1 and further specified in Sections 4, 5 and 6 of these guidelines.
Certification Scheme	means the business initiative of Urban Utilities that is more particularly described in these guidelines whereby appropriately qualified entities are endorsed by Urban Utilities to provide Services in accordance with the Deed and these guidelines.
Certification Scheme Audit and Compliance Fee	means the fee set out in Urban Utilities' Water Netserv Plan that must be paid by the Applicant to Urban Utilities prior to the Endorsed Consultant lodging the Certification Material.
Certified Design	means the design of Works for which a Design Certificate has been issued by the Endorsed Consultant.
Conflict of Interest	means a direct or indirect financial or other interest (apart from the provision of Services) in any aspect of a Water Approval (including an application for or consideration or approval of an application and whether an entitlement to be paid a fee or other consideration) that is, or is intended to be, the subject of the provision of Services.
Connection	has the meaning given in the <i>SEQ Water Act</i> .
Connection Certificate	means the certificate issued by Urban Utilities to the Applicant (and copied to the Endorsed Consultant) confirming that the relevant drinking water, non-drinking water or wastewater services are available, relevant Water Approval Conditions are complied with and all outstanding fees and charges have been paid.
Contractor	means a qualified person or company performing construction works to execute the Certified Design.
Deed	means a deed entered into between Urban Utilities and a Endorsed Consultant pursuant to this Certification Scheme and relevant to the provision of the Services.

Term	Description
Design Certificate	means the certificate issued by the Endorsed Consultant to Urban Utilities certifying that the design of the Works is in accordance with, and satisfies, the Water Approval Conditions.
Design Certification Material	means the material referred to in Section 4.4.
Design Package	means the design package of information set out in Section 4.4.
End of Maintenance Certificate	means the certificate that the Endorsed Consultant will issue as set out in Section 6.3 of these guidelines.
Endorsed Consultant	means an entity approved by Urban Utilities to certify the design and construction of the Works and who has entered into, or intends to enter into, a Deed.
Hold Points	has the meaning given in Table 3.3.1, Sections 5.1(e), 5.3 (g), 8.3 (a) and 8.4 (c) (2) of this document and refers to points during the construction schedule where construction cannot proceed until Urban Utilities has completed an inspection of the Works, which are specified by Urban Utilities as a Water Approval Condition.
Developer Application Portal	means the software application providing an electronic connection application and work tracking solution accessible from Urban Utilities' Webpage.
Laws	means all Acts of Parliament, regulations, by-laws, orders, awards, proclamations, licences, permissions, approvals, certificates and requirements of any administering authority or regulatory body.
Live Works	means working on any Urban Utilities asset that either carries water or sewage or is connected unplugged to an asset that carries water or sewage and includes making a hole in a pipe or maintenance structure carrying water or sewage, opening a maintenance hole cover, inserting tools into a maintenance hole or shaft, entering a maintenance hole, and operating valves or other equipment.
Maintenance Bond	means the bond set out in the Water Approval Conditions.
Maintenance Period	means the period of time prescribed by a Water Approval Conditions during which an Applicant is responsible for rectifying Works defects and carrying out relevant maintenance activities.
Minor Works	has the meaning specified in Section 2.5 of these guidelines.
Minor Works Criteria	has the meaning specified in Table 2.5.1 of these guidelines.
Minor Works Water Approval	means, in respect of Minor Works, a water approval under the SEQ Water Act.
Network Access Permit Application	means the application which complies with the requirements set out in Section 5.4.
Network Connection	has the meaning given in the <i>SEQ Water Act</i> .
Network Infrastructure	has the meaning given in the <i>SEQ Water Act</i> .
Nominated RPEQ	means a RPEQ who has been nominated by the Endorsed Consultant to undertake the Services.

Term	Description
Non-Standard Connection Water Approval	has the meaning given in the Urban Utilities' Water Netserv Plan.
Previous Certification Scheme	means a 2014 scheme that applied immediately before the Certification Scheme under which endorsed consultants were approved by Urban Utilities to provide the Services.
Property Service Connection	has the meaning given in the <i>SEQ Water Act</i> .
Property Service Infrastructure	has the meaning given in the <i>SEQ Water Act</i> .
RPEQ	means a registered professional engineer under the <i>Professional Engineers Act 2002 (Qld)</i> .
SEQ Code	means the SEQ Water Supply and Sewerage Design and Construction Code as amended from time to time.
SEQ Water Act	means the <i>South-East Queensland Water (Distribution and Retail Restructuring) Act 2009 (Qld)</i> as amended from time to time
Service Area	means the area covered by the Certification Scheme comprising of the local government areas of Brisbane City Council, Ipswich City Council, Lockyer Valley Regional Council, Scenic Rim Regional Council, and Somerset Regional Council.
Services	means the Certification and any necessary or incidental services to be undertaken by the Endorsed Consultant as specified in these guidelines.
Standard Connection	has the meaning given in the Urban Utilities' Water Netserv Plan.
Technical Review	the process that the Developer Service Compliance Team reviews the As-Constructed package.
Urban Utilities	means Central SEQ Distributor-Retailer Authority (trading as Urban Utilities) ABN 86 673 835 011.
Water Approval Condition	means, in respect of a Minor Works Water Approval, a water approval condition under the SEQ Water Act and includes, if there is a water infrastructure agreement for a Connection, a term of that agreement.
Works	means: <ul style="list-style-type: none"> (a) the Minor Works and all other necessary or incidental work for the design, construction, operation and delivery of the Minor Works that must be completed to comply with the Water Approval Conditions; and (b) such other water and wastewater infrastructure that does not meet the Minor Works Criteria, but which Urban Utilities has specified in the Water Approval Conditions to be delivered under the Certification Scheme.

Appendix B – Stages of the Water Approval Process

Download available from <https://urbanutilities.com.au/development/our-services/water-approval-process>

